



IAPD Report

JACK ROBERT THACKER JR

CRD# 2754773

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JACK ROBERT THACKER JR (CRD# 2754773)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/11/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	REALTA INVESTMENT ADVISORS, INC	134952	BRISTOL, VA	09/22/2023 - 01/28/2025
IA	ARETE WEALTH ADVISORS, LLC	145488	Nashville, TN	10/08/2021 - 10/10/2023
IA	CENTER STREET ADVISORS, INC.	169329	NASHVILLE, TN	03/06/2014 - 07/12/2023

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	20



Qualifications



REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.

This individual is not currently registered as an Investment Adviser Representative.



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/27/2005
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/22/2023 - 01/28/2025	REALTA INVESTMENT ADVISORS, INC	CRD# 134952	BRISTOL, VA
IA	10/08/2021 - 10/10/2023	ARETE WEALTH ADVISORS, LLC	CRD# 145488	Nashville, TN
IA	03/06/2014 - 07/12/2023	CENTER STREET ADVISORS, INC.	CRD# 169329	NASHVILLE, TN
IA	10/29/2008 - 06/12/2013	THACKER & ASSOCIATES, INC.	CRD# 147323	BRISTOL, VA
IA	06/29/2005 - 12/19/2007	KALOS MANAGEMENT	CRD# 133025	BRISTOL, VA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2023 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
09/2023 - Present	REALTA INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States
08/2021 - 09/2023	ARETE WEALTH ADVISORS, LLC	MANAGEMENT	Y	BRISTOL, VA, United States
08/2020 - 09/2023	ARETE WEALTH MANAGEMENT, LLC	MANAGMENT	Y	BRISTOL, VA, United States
02/2014 - 09/2023	CENTER STREET ADVISORS, LLC	MANAGEMENT	Y	BRISTOL, VA, United States
11/2007 - 09/2023	CENTER STREET SECURITIES, INC.	PRESIDENT	Y	BRISTOL, VA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

(1) THACKER AND ASSOCIATES DBA; BRISTOL, VA; INSURANCE AGENCY (SALES OF FIXED ANNUITIES AND LIFE INSURANCE); WWW.THACKERANDASSOCIATES.COM; OWNER/PRESIDENT; INSURANCE COMMISSIONS; 5 HOURS PER



Registration & Employment History



OTHER BUSINESS ACTIVITIES

WEEK DURING NORMAL TRADING HOURS. (2) RESOURCE MEDIA LLC; MURFREESBORO, TN; SINGLEMEMBER LLC THAT OWNS COPYWRITES ON BOOKS AND MARKETING SYSTEMS; MANAGING MEMBER/OWNER; ANY ROYALTIES OR PROFITS FROM BOOKS WRITTEBY JR THACKER; 1 HOUR PER WEEK NONE DURING NORMAL TRADING HOURS. (3) HIGHLAND BLASTING INC.; KODAK, TN; BOARD MEMBER; WWW.HIGHLANDBLASTING.COM; NO COMPENSATION; 1 HOUR PER WEEK NONE DURING NORMAL TRADING HOURS. (4) REALTA INVESTMENT ADVISORS, INC.; WILMINGTON, DE; INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE; WWW.REALTAWEALTH.COM; COMPENSATION IN THE FOR OF FEES; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	20

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 20

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: Client alleges unsuitable investment recommendation.

Product Type: Other: Alternative Investments

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-02338

Date Notice/Process Served: 12/02/2024

Arbitration Pending? Yes

Disclosure 2 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimants allege unsuitable investments.



Product Type: Other: Alternative Investments

Alleged Damages: \$412,371.53

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00647

Date Notice/Process Served: 07/11/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer of a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 3 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): unspecified damages

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-03084

Date Notice/Process Served: 04/26/2024

Arbitration Pending? Yes

Disclosure 4 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimant alleges unsuitable investments.

Product Type: Promissory Note

Alleged Damages: \$250,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

24-00138

Date Notice/Process Served:

04/08/2024

Arbitration Pending?

Yes

Broker Statement

I was neither the broker nor the direct supervisor for the activities at issue. I have been maed in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 5 of 20

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

CENTER STREET SECURITIES, INC.

Allegations:

Clients allege unsuitable investment recommendations in 2012 - 2019.

Product Type:

Other: Alternative Investments

Alleged Damages:

\$221,904.00

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

24-00634

Filing date of arbitration/CFTC reparation or civil litigation:

03/21/2024

Customer Complaint Information

Date Complaint Received:

03/25/2024

Complaint Pending?

Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

CENTER STREET SECURITIES, INC.

Allegations:

Clients allege unsuitable investment recommendations in 2012 - 2019.

Product Type:

Other: Alternative Investments



Alleged Damages: \$221,904.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 24-00634

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/21/2024

Customer Complaint Information

Date Complaint Received: 03/25/2024

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 6 of 20

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** CENTER STREET SECURITIES, INC.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$200,000.00

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** FINRA

Docket/Case #: 22-01937

Date Notice/Process Served: 03/01/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been maed in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 7 of 20

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** CENTER STREET SECURITIES, INC.



Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02725

Date Notice/Process Served: 03/01/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been maed in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 8 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$100,001.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02945

Date Notice/Process Served: 03/01/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been maed in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 9 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$141,000.00



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-01681

Date Notice/Process Served: 03/01/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 10 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: The claimant alleges unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified damages

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-02091

Date Notice/Process Served: 03/01/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 11 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$500,000.00



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-00059

Date Notice/Process Served: 02/05/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 12 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments and respondents did not conduct a reasonable due diligence on investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The alleged damages are unspecified.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-01091

Date Notice/Process Served: 02/28/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 13 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimant alleges unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$110,000.00



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #:

23-01668

Date Notice/Process Served:

02/05/2024

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

09/04/2024

Monetary Compensation Amount:

\$7,500.00

Individual Contribution Amount:

\$2,500.00

Broker Statement

I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 14 of 20

Reporting Source:

Regulator

Employing firm when activities occurred which led to the complaint:

Center Street Securities, Inc.

Allegations:

Jack Thacker was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty; violation of FINRA/NYSE Rules, breach of contract and negligence; negligent supervision; violation of the Illinois Securities Law and other securities laws; fraudulent inducement to hold investment; control person/aider and abettor liability under Illinois and federal securities laws; and aiding and abetting breach of fiduciary duty. The causes of action related to Claimants' allegation that Respondents mishandled Claimants' assets by failing to properly allocate and diversify Claimants' investment portfolio. Claimants alleged that Respondents filled Claimants' portfolio with unsuitable securities, including various Non-Conventional Investments (NCIs, also known as "alternative" products) and other high-commission and high-fee, illiquid, alternative investments such as Business Development Companies ("BDCs") and Limited Partnerships ("LPs").

Product Type:

Other: alternative products and investments

Alleged Damages:

\$1,074,933.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

[FINRA - CASE #22-02391](#)

Date Notice/Process Served:

10/18/2022

Arbitration Pending?

No

Disposition:

Award

Disposition Date:

02/14/2025



Disposition Detail: Respondent Thacker is jointly and severally liable for and shall pay to Claimants the sum of \$80,522.97 in compensatory damages; is jointly and severally liable for and shall pay to Claimants interest on the aforementioned sum; is jointly and severally liable for and shall pay to Claimants the sum of \$100,000.00 in compensatory damages; is jointly and severally liable for and shall pay to Claimants interest on the aforementioned sum; jointly and severally liable for and shall pay to Claimants the sum of \$31,544.00 in costs; and is jointly and severally liable for and shall pay to Claimants the sum of \$300.00 in costs as reimbursement for the non-refundable portion of the filing fee.

Regulator Statement The award against Jack Thacker was stayed through United States Bankruptcy Court for the Eastern District of Tennessee, Case # 2:25-bk-50237

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$105,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02391

Date Notice/Process Served: 02/05/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 15 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$220,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02364



Date Notice/Process Served: 02/05/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 16 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$185,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-02365

Date Notice/Process Served: 02/05/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 17 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimants allege unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$140,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-02281

Date Notice/Process Served: 02/05/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have



been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 18 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Center Street Securities, Inc.

Allegations: The claimant alleges unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$100,001.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-01734

Date Notice/Process Served: 02/06/2024

Arbitration Pending? Yes

Broker Statement I was neither the broker nor the direct supervisor for the activities at issue. I have been named in these false claims based on my previous position as an officer at a former firm. I deny all the claims against me as they are false, and I will be seeking expungement of this complaint from my license.

Disclosure 19 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: Client alleges registered representative recommended unsuitable investments.

Product Type: Other: Alternative Investments

Alleged Damages: \$340,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-01736

Filing date of arbitration/CFTC reparation or civil litigation: 07/14/2023

Customer Complaint Information



Date Complaint Received: 07/27/2023

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement Mr. Thacker strongly disputes the allegations in the Statement of Claim. The Claimant is a wealthy and sophisticated investor with considerable investment experience in alternative investments. Prior to making the investments-at-issue, the Claimant received written disclosures that included detailed information about the risks. The Claimant knowingly accepted those risks, and Mr. Thacker provided her with accurate information about each product. Moreover, Mr. Thacker reasonably conducted due diligence in accordance with the relevant laws, rules, and regulations. In sum, the claims are without merit.

Disclosure 20 of 20

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTER STREET SECURITIES, INC.

Allegations: 12/11 CLIENT LETTER SAID SHE WAS CONCERNED ABOUT THE ILIQUIDTY OF HER REIT INVESTMENTS PURCHASED 2007. SHE REQUESTED COPIES OF ORIGINAL DOCUMENTS AND THAT FIRM NOT CONTACT HER BY PHONE; ONLY MAIL. DOCUMENTS WERE SENT TO HER SOON AFTER WITH A COVER LETTER AND REDEMPTION FORMS. SHE DID NOT MAKE ANY FURTHER REQUESTS TO FIRM. DIED 5/2012.

Product Type: Real Estate Security

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/22/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/01/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement FIRM DID NOT DISCLOSE MATTER SOONER BECAUSE IT DID NOT REALIZE THAT IT MET THE THRESHOLD OF COMPLAINT REPORTING BECAUSE CLIENT MADE NO SPECIFIC ACTION REQUEST OTHER THAN COPIES OF HER PAPERWORK AND FIRM DETERMINED THAT CLIENT PURCHASED PRODUCTS AFTER SEVERAL APPOINTMENTS SOME OF WHICH HER ADULT CHILDREN (HEIRS) ATTENDED AND DID NOT OBJECT. OTHER INFORMATION: SHE ATTENDED FIXED ANNUITY SEMINAR AND MET A



SALESPERSON. HE DRAFTED A LETTER FOR HER TO SIGN REGARDING LIQUIDITY CONCERNS. AT THE SAME TIME HE TRANSFERRED \$100,000 OF HER LIQUID ASSETS INTO A NEW FIXED ANNUITY WITH A 16 YEAR SURRENDER CHARGE STARTING AT 20% A YEAR. SHE DIED LESS THAN SIX MONTHS AFTER TRANSFER. WHEN THE FIRM FIRST RESPONDED TO HER WITH THE REQUESTED DOCUMENTS, IT ALSO SENT HER REDEMPTION PAPERWORK TO REQUEST THE REDEMPTION OF HER SHARES BY SPONSORING REIT COMPANIES. CLIENT NEVER RESPONDED TO FIRM NOR SENT IN THE REDEMPTION FORMS TO REIT COMPANIES. SHE DIED 5/12.



End of Report

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